



DEPARTMENT OF THE NAVY
COMMANDER
NAVY EXPEDITIONARY COMBAT COMMAND
1575 GATOR BLVD, SUITE 150
NORFOLK, VA 23521-3024

COMNECCINST 5040.2A
N02IG
22 Sep 09

COMNECC INSTRUCTION 5040.2A

From: Commander, Navy Expeditionary Combat Command

Subj: COMMAND ASSESSMENT PROGRAM

Ref: (a) SECNAVINST 5040.3A
(b) OPNAVINST 5000.52B
(c) SECNAVINST 5200.35E
(d) OPNAVINST 3500.39

Encl: (1) Sample Commander's Self Assessment
(2) Command Assessment Report of Finding (NECC Form 5040)
(3) Implementation Status Report (OPNAV Report 5040-1)

1. Purpose. To assign responsibility for the direction, implementation, and oversight of the DON Inspection Program (DONIP) per reference (a), and the Command Evaluation Program per reference (b). For purposes of this program the terms "assessment," "evaluation," and "inspection" are synonymous.

2. Cancellation. COMNECCINST 5040.2.

3. Objectives. The objectives of the Command Assessment Program are to:

a. Assist Echelon IV Commanders/Commanding Officers/Officers in Charge in improving the performance, readiness, efficiency, effectiveness and quality of life of the commands, units and activities for which they are responsible.

b. Provide assurance of compliance with applicable laws, regulations, policies, and procedures; and identify, prevent, and/or correct fraud, waste, mismanagement, and improper acts.

c. Promote and identify efficient management practices, including internal controls and risk management, per references (c) and (d).

4. Action

a. NECC IG is responsible for oversight of the Command Assessment Program and:

(1) Develop a comprehensive Command Assessment plan for each Echelon IV assessment based on Echelon IV self-assessments, past

inspections, investigations, audits, and other special-interest items directed by the Naval Inspector General.

(2) Inspect, investigate, assess or inquire into any and all matters of importance to COMNECC with particular emphasis on readiness, including, but not limited to: Effectiveness, efficiency, discipline, morale, economy, ethics and integrity; environmental protection; safety and occupational health; medical and dental matters; physical security; information systems management; personnel support services and other issues affecting quality of life; command relationships, and organizational structures.

(3) Issue a separate notice announcing the schedule of Command Assessments for the following year.

b. NECC Assistant Chiefs of Staff/Special Assistants (ACOS/SAs) shall:

(1) Review self-assessments submitted by Echelon IV Commanders/COs/OICs.

(2) Report results of inspections and/or known deficiencies requiring further review.

(3) When appropriate, provide Subject Matter Experts (SMEs) to the NECC IG for the Command Assessment team.

c. Echelon IV Commands shall:

(1) When applicable, conduct independent oversight of their subordinates to ensure readiness, integrity, effectiveness and efficiency; and continuously monitor the effectiveness of their programs and processes per references (a) and (b).

(2) Ensure effective controls are in place for programs and procedures internal to their organization per reference (c). The Managers' Internal Control Program (MIC) integrates effective oversight, risk management, and systematic checks and balances into program management. An effective MIC program can aid in disseminating best practices, aid in identifying vulnerabilities, document efficient operations, and provide early indicators of potential systemic issues.

5. Process for Command Assessments

a. Pre-Command Assessment

(1) Two months prior to a scheduled Command Assessment, Echelon IV activities shall forward the following to the NECC IG:

(a) A self-assessment identifying strengths, weaknesses, and significant areas of concern in Mission Performance, Readiness,

Strategic Planning, Manpower/Manning, Allocation of Resources and Budget, Managers Internal Controls Program, Information Technology/Assurance, Safety/Operational Risk Management (ORM), and Standards of Conduct (Command Ombudsman/Family Readiness, Recognition/Awards Program, Sexual Assault Victim Intervention (SAVI), Family Advocacy Program (FAP), Expeditionary Warfare Specialist (EXW), Physical Fitness Assessment (PFA), Alcohol/Drug Control Officer (ADCO)/Drug/Alcohol Program Advisor (DAPA)/Urinalysis Programs). The self-assessment shall also report the results of program/functional areas reviewed within the previous 180 days by an external inspection, investigation, or audit. Refer to enclosure (1) for sample self-assessment.

(b) Current Organizational Chart.

(c) Most recent EO Command Climate Survey.

(d) Notice of Collateral Duties/Assignments.

(2) One month prior to Command Assessment, NECC ACOS/SAs shall review the Echelon IV self-assessment and report to NECC IG additional areas of concern requiring further review during the Command Assessment.

(3) Three weeks prior to Command Assessment, the NECC IG shall provide the Echelon IV activity with the composition of team members and functional areas/programs that the Command Assessment Team will visit during the Command Assessment.

(4) One week prior to Command Assessment, the Echelon IV activity shall provide key members assigned to represent the activity for each functional area/program identified in the notification as directed in paragraph 5.(a)(3) above.

b. Command Assessment

(1) Arrival Conference. The NECC Command Assessment Team will conduct an arrival conference with key members of the Echelon IV activity upon arrival. During the arrival conference, the Echelon IV activity shall provide a command brief, which will detail goals, achievements, operations, financial status, workload and productivity trends.

(2) Command Assessment Team members shall provide a daily brief to the NECC IG on their findings in each functional area/program, identifying best practices, significant areas of concern, and interim findings.

(3) Exit Brief. At the completion of the Command Assessment, the NECC IG will conduct an exit brief addressing the overall

evaluation of the activity and highlighting noteworthy accomplishments, interim findings, and recommendations.

c. Post-Command Assessment

(1) Command Assessment Team members shall provide a report of their findings for each functional area/program within 10 days to the NECC IG, using enclosure (2). The findings shall address any major conditions, which prevent the activity from fulfilling its mission, or could lead to occurrences of fraud, waste or mismanagement; and conditions that impede mission readiness, effectiveness or efficiency.

(2) The NECC IG shall report the findings of the Command Assessment to the Commander within 30 days from completion of the Command Assessment.

(3) Upon receipt of the Command Assessment results, Echelon IV activities shall provide a response to each finding on an Implementation Status Report (ISR) using enclosure (3), within 30 days. Submit ISRs quarterly until the recommended corrective actions are completed/accepted by NECC.

6. Privileged Nature of Inspection Reports. Any report or correspondence relating to findings or results shall be marked "FOR OFFICIAL USE ONLY." The formal report cover sheet or front page shall also include the following statement: The information contained herein relates to the internal practices of the Department of the Navy and is an internal communication within the Navy Department. THIS REPORT IS NOT RELEASABLE without the specific approval of the Commander, NECC. Do not disclose its contents outside original distribution, nor be reproduced in whole or in part. Refer all requests for this report, extracts there from, or correspondence related thereto to the NECC IG.



M. E. KOSNIK
By direction

Distribution: (COMNECCINST 5216.1)
Lists I and II (Electronically)

Sample Commander's Self Assessment

5040
Ser XXXX/

From: Commander, Echelon IV
To: Commander, Navy Expeditionary Combat Command
Subj: COMMANDER'S SELF ASSESSMENT

Ref: (a) COMNECCINST 5040.2A
(b) COMNECC ltr 5040 Ser N02IG/113 of 3 Mar 09

Encl: (1) Current Organizational Chart
(2) Assessments, audits (internal and external)
(3) Summary of recent inspections/assessments of subordinate commands (previous 12 months)
(4) Most recent Command Climate survey
(5) List of Collateral Duties and Assignments

1. Per references (a) and (b), the following is a self-assessment of *UNIT NAME*.

2. (Comments...Here, the self-assessment shall contain information on the strengths/weaknesses/concerns/best practices relating to various programs that relate to your Command. If you think you need help with a specific program area, tell us...we'll help you.)

a. Standards of Conduct

- (1) Command Ombudsman/Family Readiness
- (2) Recognition/Awards
- (3) SAVI
- (4) FAP
- (5) EXW
- (6) PFA
- (7) DAPA/Urinalysis
- (8) Command Sponsorship/Indoc/CDB/Retention

Enclosure (1)

- (9) Equal Opportunity and Command Climate issues
- b. Managers' Internal Controls
- c. Legal
- d. Medical
 - (1) Deployment/Post-Deployment Health Assessments
 - (2) Combat Operational Stress Control
- e. Safety/ORM
- f. Security
 - (1) Personnel Security/Information Security
 - (2) Information Assurance
 - (3) EKMS
- g. Administration/Personnel/Personnel Accounting
 - (1) EDVR/ODCR Maintenance
 - (2) Correspondence/Directives
 - (3) Manning
 - (4) Command Information Assurance Coordinator (CIAC)
- h. Mission Performance/Operations
 - (1) Readiness Reporting
 - (2) Embarkation/Debarkation
 - (3) OPTEMPO/PERSTEMPO
 - (4) OPSEC
 - (5) AT/FP
- i. Allocation of Resources/TOA

- (1) 3M
- (2) Arms, Ammunition, Explosives (AA&E)
- (3) CESE/Boats
- (4) CBR-D

j. Training

- (1) PQS/GMT
- (2) ASM

k. Command Strengths

l. Areas of concern

3. *(Comments...Here, the self-assessment shall report your progress in monitoring those same programs (in preceding paragraph, where applicable) for your subordinate units.*

4. My point of contact is XXXXXXXX, Command Name, who can be reached at (757) XXXXXXXXXXXX or via email at XXXXXXXXXXXXXXXXXXXX.

XXXXXXXXXXXX

COMMAND ASSESSMENT REPORT OF FINDING

Activity:	Assessor:
Date:	Activity POC:
Functional Area/Program:	
References:	
Findings:	
Recommendations:	

NECC FORM 5040

ACOS/SA Acknowledgment: _____

IMPLEMENTATION STATUS REPORT
OPNAV FORM 5040/2 (11-68) S/N-0107-774-1000

OPNAV REPORT 5040-1

STATUS AS OF (DATE)	REPORTED BY (ACTION OP/BUREAU/COMMAND)
ACTION OFFICER (NAME AND EXTENSION)	COORDINATING ACTION (OP/BUREAU/COMMAND)

IDENTIFICATION OF REPORT (NAVINGEN/COMMAND INSPECTION/AUDIT/AREA COORDINATION. INLCUDE SERIAL AND DATE

IDENTIFICATION OF ACTION ITEM (RECOMMENDATION NUMBER/PARAGRAPH NUMBER)

RECOMMENDATION:

CURRENT IMPLEMENTATION STATUS (IF ACTION CONSIDERED COMPLETE, SO STATE.)

NEXT STEP IN IMPLEMENTING ACTION (INCLUDE ESTIMATED DATE OF COMPLETED ACTION